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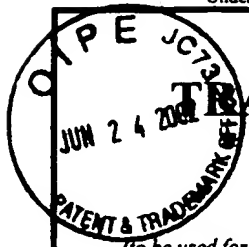
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PTO/SB/21 (08-00)

Approval for use through 10/31/2002. OMB 0651-0031

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/864,093
Filing Date	May 21, 2001
First Named Inventor	Clark et al.
Group Art Unit	2633
Examiner Name	N/A
Attorney Docket Number	70651

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## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits / Declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts / Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. PTO-1449 2. Four References 3. Return Receipt Postcard
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Remarks

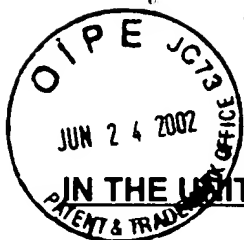
## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Individual name	Steven M. Freeland, Reg. No. 42,555
Signature	
Date	June 14, 2002

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Docket No. 70651

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Clark, et al.

Application No.: 09/864,093

Filed: May 21, 2001

Title: FREE-SPACE OPTICAL  
COMMUNICATION SYSTEM  
EMPLOYING WAVELENGTH  
CONVERSION

Group Art Unit: 2633

Examiner: TBD

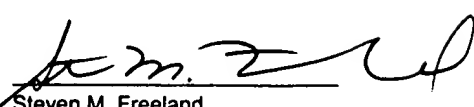
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Steven M. Freeland  
Registration No. 42,555  
Attorney for Applicant(s)

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

This Information Disclosure Statement is submitted:

☒ Under 37 CFR §1.97(b) (within three months of the filing date of a national application or date of entry of an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last).

☒ Under 37 CFR §1.97(c) together with either:  
☒ a statement under 37 CFR §1.97(e), or  
☐ a fee under 37 CFR §1.17(p)  
(after the 37 CFR §1.97(b) time period, but before the mailing date of a final Action, a Notice of Allowance, or an action that otherwise closes prosecution).

☐ Under 37 CFR §1.97(d) together with:  
☐ a statement under 37 CFR §1.97(e), and  
☐ a fee under 37 CFR §1.17(p)  
(after the 37 CFR §1.97(c) time period, but on or before payment of the issue fee).

IDS

Application No. 09/864,093

Page 2

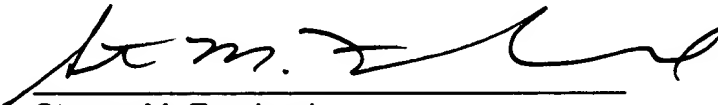
X Statement under 37 C.F.R. §1.97(e)(2): The undersigned states that no item was first cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

In accordance with the duty of disclosure imposed by 37 CFR § 1.56 to inform the Patent Office of all patents, publications, applications and other information known by Applicants or Applicants' representative that may be material to the examination of the subject application, Applicants' representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 CFR §§ 1.97-1.98 and includes Form PTO-1449 with four (4) references listed as items AA-AD.

It is requested that the information provided herein be made of record in this application.

Respectfully submitted,

Dated: June 14, 2002



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